

Please type a plus sign (+) inside this box →

Under the Paperwork Reduction Act of 1995, no person shall be required to provide information unless it displays a valid OMB control number.



RECEIPT

PTO/SB/21 (8-00)

Approved for use through 10/31/2002. OMB 0651-0031  
Patent and Trademark Office U.S. Department of Commerce

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/687,892
Filing Date	October 13, 2000
First Named Inventor	Phillip Koh-Kwe Hsu
Group Art Unit	2152
Examiner Name	Not yet assigned
Attorney Docket Number	4034-61

### ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
  - ☐ Fee Attached
- ☐ Petitions to the Commissioner
- ☒ Request For Corrected Filing Receipt With A Copy Of the Official Receipt
- ☐ Amendment/Reply
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement Form PTO-1449  
\_\_\_\_ References
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
  - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s) - \_\_\_\_ Sheets
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Small Entity Statement
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☐ Withdrawal of attorney as Attorney or Agent
- ☒ Other Enclosure(s) (please identify below):

Return Receipt Postcard

Remarks

RECEIVED

APR 23 2001

Technology Center 2100

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Leslie Gladstone Restaino, Reg. No. 38,893
Signature	<i>Leslie S Restaino</i>
Date	January 3, 2001

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on this date 01/03/2001

Type or printed name	Muriel Fleming		
Signature	<i>Muriel Fleming</i>	Date	January 3, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Phillip Koh-Kwe Hsu, et al.

Docket No.: 4034-61

Serial No. 09/687,892

Group No.: 2152

Filed: October 13, 2000

Examiner: Not yet assigned

For: SYSTEM AND METHOD FOR DELIVERING A FINANCIAL MESSAGE

Assistant Commissioner for Patents

Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.

2. There is an error with respect to the following data, which is:

☒ incorrectly entered

and/or

☐ omitted.

Error in

1. ☐ Applicant's name
2. ☐ Applicant's address
3. ☒ Title
4. ☐ Filing Date
5. ☐ Serial Number
6. ☐ Other—Attorney Docket No.

RECEIVED

APR 23 2001

Correct Data

Technology Center 2100

- 1.
- 2.
3. System And Method For Delivering  
A Financial Message
- 4.
- 5.
- 6.

Reg. No.: 38, 893

Tel. No.: (973) 538-0800

Customer No.:

Leslie Gladstone Restaino  
SIGNATURE OF PRACTITIONER

Leslie Gladstone Restaino

(type or print name of practitioner)

One Speedwell Avenue, Morristown, NJ 07962

P.O. Address

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8a)

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date:

1/3/2001

FACSIMILE

☐ transmitted by facsimile to the Patent and Trademark Office.

Muriel Fleming  
Signature

Muriel Fleming

(type or print name of person certifying)



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/687,892	10/13/2000	2152	728	4034-61	40	21	3

## FILING RECEIPT



\*OC000000005641314\*

Riker Danzig Scherer Hyland & Perretti LLP  
Headquarters Plaza  
One Speedwell Avenue  
Morristown, NJ 07962

Date Mailed: 12/27/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Phillip Koh-Kwe Hsu, River Edge, NJ ;  
Susan M. Carlos, Scotch Plains, NJ ;

## Continuing Data as Claimed by Applicant

## Foreign Applications

If Required, Foreign Filing License Granted 12/27/2000

RECEIVED

APR 23 2001

Technology Center 2100

## Title

System and method for delivering financial message

## Preliminary Class

709

Data entry by : GARNETT, SANDRA

Team : OIPE

Date: 12/27/2000



**FILE COPY**

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov



Bib Data Sheet

CONFIRMATION NO. 8983

<b>SERIAL NUMBER</b> 09/687,892	<b>FILING DATE</b> 10/13/2000 <b>RULE</b>	<b>CLASS</b> 709	<b>GROUP ART UNIT</b> 2152	<b>ATTORNEY DOCKET NO.</b> 4034-61
------------------------------------	---	---------------------	-------------------------------	---------------------------------------

**APPLICANTS**

Phillip Koh-Kwe Hsu, River Edge, NJ;  
Susan M. Carlos, Scotch Plains, NJ;

\*\* CONTINUING DATA \*\*\*\*\*

**RECEIVED**

\*\* FOREIGN APPLICATIONS \*\*\*\*\*

APR 23 2001

IF REQUIRED, FOREIGN FILING LICENSE

GRANTED \*\* 12/27/2000

Technology Center 2100

Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no	STATE OR COUNTRY NJ	SHEETS DRAWING 40	TOTAL CLAIMS 21	INDEPENDENT CLAIMS 3	
35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance					
Verified and Acknowledged	Examiner's Signature	Initials			

**ADDRESS**

Riker Danzig Scherer Hyland & Perretti LLP  
Headquarters Plaza  
One Speedwell Avenue  
Morristown, NJ 07962

*Leslie Gladstone Restaino, Esq.*  
*Brown Rayzman Millstein Feltner & Steiner LLP*  
*163 Madison Avenue*  
*P.O. Box 1989*  
*Morrisson, NJ 07962-1989*

**TITLE**

System and method for delivering a financial message

<b>FILING FEE RECEIVED</b> 728	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees
		<input type="checkbox"/> 1.16 Fees ( Filing )
		<input type="checkbox"/> 1.17 Fees ( Processing Ext. of time )
		<input type="checkbox"/> 1.18 Fees ( Issue )
		<input type="checkbox"/> Other _____
		<input type="checkbox"/> Credit